

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Qian Xie et al.
Appln. No. : 10/594,136
Filing Date : September 25, 2006
For : GELDANAMYCIN AND DERIVATIVES INHIBIT CANCER
INVASION AND IDENTIFY NOVEL TARGETS

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97(b)

Pursuant to 37 CFR §§1.56 and 1.97(b), Applicants bring to the attention of the Examiner the documents listed on the attached Form PTO-1449. This Information Disclosure Statement is being filed more than three months of the date of entry of the national stage in an international application but, to the undersigned's knowledge, before the mailing date of a first Office Action on the merits for the above-referenced application.

Copies of the listed foreign patent documents and non-patent literature are attached. Applicants respectfully request that the Examiner consider the listed documents and evidence that consideration by making appropriate notations on the attached form.

The listed documents were cited in the International Search Report which issued from a corresponding International Patent Application. A copy of the International Search Report is included herewith. The International Search Report is not a reference, and Applicants do not necessarily subscribe to any of the statements contained therein.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If it should be determined that any of the listed documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

Applicant : Qian Xie et al.
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Page : 2

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 16-2463.

Respectfully submitted,

February 5, 2007

Date

/Marcus P. Dolce/

Marcus P. Dolce, Registration No. 46 073
Price, Heneveld, Cooper, DeWitt & Litton, LLP
695 Kenmoor, S.E.
Post Office Box 2567
Grand Rapids, MI 49501
(616) 949-9610

MPD/msj

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number	10594136
	Filing Date	2006-09-25
	First Named Inventor	Qian Xie
	Art Unit	
	Examiner Name	
	Attorney Docket Number	VAN67- P-332A

U.S. PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1					

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S. PATENT APPLICATION PUBLICATIONS						
Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1					

If you wish to add additional U.S. Published Application citation information please click the Add button.

FOREIGN PATENT DOCUMENTS								
Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ²	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T ⁵
	1	03066005	WO		2003-08-14			<input type="checkbox"/>
	2	0045805	WO		2000-08-10			<input type="checkbox"/>
	3	9408578	WO		1994-04-28			<input type="checkbox"/>

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		10594136
Filing Date		2006-09-25
First Named Inventor	Qian Xie	
Art Unit		
Examiner Name		
Attorney Docket Number		VAN67- P-332A

If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
	1	SCHNUR et al., "Inhibition of the Oncogene Product p185erbB-2 in Vitro and in Vivo by Geldanamycin and Dihydrogeldanamycin Derivatives," Journal of Medicinal Chemistry, 1995, pages 3806-3812	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.19 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10594136
Filing Date	2006-09-25
First Named Inventor	Qian Xie
Art Unit	
Examiner Name	
Attorney Docket Number	VAN67- P-332A

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- ☐ See attached certification statement.
- ☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- ☐ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.16. Please see CFR 1.4(d) for the form of the signature.

Signature	/Marcus P. Dolce/	Date (YYYY-MM-DD)	2007-02-05
Name/Print	Marcus P. Dolce	Registration Number	46 073

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

INTERNATIONAL SEARCH REPORT

Int. Appl. No.
PCT/US2005/010351

A. CLASSIFICATION OF SUBJECT MATTER
IPC 7 C07D225/06 A61K31/33 A61P35/00

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
IPC 7 C07D

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the International search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, CHEM ABS Data

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	WO 03/066005 A (CONFORMA THERAPEUTICS CORPORATION; ZHANG, LIN; LE BRAZIOEC, JEAN-YVES;) 14 August 2003 (2003-08-14) page 165 - page 167; tables 3,4	1-31
X	WO 00/45805 A (THE GOVERNMENT OF THE UNITED STATES OF AMERICA, REPRESENTED BY THE SEC) 10 August 2000 (2000-08-10) examples	1-31
X	WO 94/08578 A (THE GOVERNMENT OF THE UNITED STATES OF AMERICA, AS) 28 April 1994 (1994-04-28) table 1	1-31

-/-

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

* Special categories of cited documents:

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier document but published on or after the international filing date
- "L" document which may throw doubt on priority claim(s) or which is cited to establish the publication date of another claim or other special reason (see specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

- "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principles or theory underlying the invention
- "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- "Z" document member of the same patent family

Date of the actual completion of the international search

13 June 2005

Date of mailing of the international search report

20/06/2005

Name and mailing address of the ISA

European Patent Office, P.O. Box 5616 Patentplan 2
NL - 2280 HV Rijswijk
Tel: (+31-70) 340-3040, Tx: 01 001 apo nl,
Fax: (+31-70) 340-3016

Authorized officer

Manegaki, F

INTERNATIONAL SEARCH REPORT

Application No
PCT/US2005/010351

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	<p>SCHNUR ET AL: "Inhibition of the Oncogene Product p185erb-b2 in Vitro and in Vivo by Geldanamycin and Dihydrogeldanamycin Derivatives" JOURNAL OF MEDICINAL CHEMISTRY, AMERICAN CHEMICAL SOCIETY, WASHINGTON, US, vol. 38, no. 19, 1995, pages 3806-3812, XP002202371 ISSN: 0022-2623 table 1</p> <p>-----</p>	1-31

FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

Continuation of Box II.1

Although claims 11-27 are directed to a method of treatment of the human/animal body, the search has been carried out and based on the alleged effects of the compound/composition.

Although claim 31 is directed to a diagnostic method practised on the human/animal body, the search has been carried out and based on the alleged effects of the compound/composition.

INTERNATIONAL SEARCH REPORT

International application No.
PCT/US2005/010351

Box II Observations where certain claims were found unsearchable (Continuation of item 2 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☒ Claims Nos.:
because they relate to subject matter not required to be searched by this Authority, namely:
see FURTHER INFORMATION sheet PCT/ISA/210
2. ☐ Claims Nos.:
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:
3. ☐ Claims Nos.:
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

Box III Observations where unity of invention is lacking (Continuation of item 3 of first sheet)

This International Searching Authority found multiple inventions in this International application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
☐ No protest accompanied the payment of additional search fees.

INTERNATIONAL SEARCH REPORT

Information on patent family members

Application No
PCT/US2005/010351

Potential document cited in search report	Publication date	Patent family member(s)	Publication date
WO 03066005	A	14-08-2003	
		AU 2003217393 A1	02-09-2003
		CA 2474508 A1	14-08-2003
		EP 1472230 A2	03-11-2004
		WO 03066005 A2	14-08-2003
		AU 2002364566 A1	23-06-2003
		AU 2003303058 A1	09-07-2004
		CA 2468202 A1	19-06-2003
		EP 1519735 A2	06-04-2005
		WO 2004054624 A1	01-07-2004
		US 2005074457 A1	07-04-2005
WO 0045805	A	10-08-2000	
		AU 2986800 A	25-08-2000
		WO 0045805 A2	10-08-2000
WO 9408578	A	28-04-1994	
		AU 5360694 A	09-05-1994
		CA 2146668 A1	28-04-1994
		EP 0664702 A1	02-08-1995
		JP 8502488 T	19-03-1996
		WO 9408578 A2	28-04-1994